

Functional Area WBS #: 26 – Internal Audit

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### FUNCTIONAL AREA SUMMARY FORM

(ANL-W & INEEL Laboratory Consolidation to INL)

Consider facilities, hardware, processes, procedures, personnel, training, database, etc. in your functional area.

1) ACTIVITIES needed to transition

What activities should be conducted to support to transition to a single contractor? When is the most opportune time to conduct each activity (pre-transition, transition, incoming contractor)?

Activities to transition functional area to one contractor	3/1 – 11/15 Pre-transition	11/15 – 1/30 Transition	1/31/05 Incoming Contractor
1. FY 2005 Annual Audit Plan – Approved by Operations Offices 1.1 Discuss Current Audit Coverage Requirements 1.2 Define Any Areas That May Impact Shared Operations Under Internal Audit Coverage Cognizance (coverage to be completed before 02/01/2005) 1.3 Incorporate Appropriate Common Coverage Requirements in FY 2005 Plan	X  INEEL Due 06/15/2004  ANL Due 07/15/2004		
2. Comparative Analysis ANL/INEEL Internal Audit Process Guidelines 2.1 Prepare a White Paper For Incoming Contractor's Information 2.2 Assist in Drafting Interim Process Guidelines to be Effective 02/01/2005, As Requested	X		
3. Comparative Analysis To Incoming Contractor Audit Process Guidelines 3.1 Assist in Drafting Process Guidelines, As Requested - Effective 02/01/2005		X	

4. Fully Disclose Audit Findings, Recommendations, Suggestions & Management Action Plans 4.1 Provide Finding Basis and Impact Statements 4.2 Identify Finding Closure Actions Extending Beyond 01/31/2005 4.2.1 Facilitate the identification, prioritization and assignment of pre-existing conditions		X	
5. Align Internal Audit Process As Appropriate/Requested			X
6. INEEL and ANL FY-2005 Annual Audit Plans cannot be combined before 2/1/05. The new contractor will need to recast the plan.			X

Note: The INEEL and ANL FY-2005 Annual Audit Plans cannot be written/combined as a single before the new contractor operates the INL. Therefore, the INL will need to perform a new risk assessment, recast the plan, and seek operations office approval. However, INEEL and ANL personnel understand that this is the process, and each site is working “hooks” into their FY-2005 plans that will simplify the plan recast. The channels of communication are open.

2) GAP(S)

In your functional area, identify gap(s) that may inhibit a smooth transition. Please list below. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- None Noted

3) Other

Are there issues or concerns outside of your functional area that may inhibit the consolidation? If so, please list. Additionally, utilize the Gap/Risk Description form to define each gap/issue.

- None Noted

4) Have you initiated any actions outside of this review to facilitate the integration? If so, please describe.

- None Required